

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Fred IRWIN, et al.

Group Art Unit: **3693**

Serial No.: **09/662,588**

Examiner: **Jason M. Borlinghaus**

Filed: **September 15, 2000**

For: **SYSTEM AND METHOD OF INTERFACING FOR CLIENT
APPLICATION PROGRAMS TO ACCESS A DATA MANAGEMENT
SYSTEM**

**SUBMISSION REQUIRED WITH REQUEST FOR CONTINUED
EXAMINATION (RCE) PURSUANT TO 37 C.F.R. 1.114**

U.S. Patent and Trademark Office
Customer Service Window, Mail Stop RCE
Randolph Building
401 Dulany Street
Alexandria, VA 22314

Sir:

In accordance with the requirements of 37 C.F.R. §§ 1.56, 1.97-1.98 and MPEP § 609, the references noted on the attached form PTO-1449 are hereby brought to the attention of the Examiner.

No additional fees are believed to be necessary since the references cited in this statement are being submitted with a Request for Continued Examination (RCE) and the fee associated with the RCE filing. The Commissioner is hereby authorized to charge any additional fees under 37 C.F.R. 1.16 or 1.17 which may be required during the entire pendency of this application, or to credit any overpayment, to Deposit Account No. 50-4402.

The above information is presented so that the United States Patent and Trademark Office may, in the first instance, determine any materiality thereof to the claimed invention.

See 37 C.F.R. §§ 1.104(a) conferring the PTO duty to consider and use any such information. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

Some of the references cited on the attached Form PTO-1449 represent English-language documents which have been cited in several opposition proceedings which have been initiated against the corresponding EPO patent.

The following references were cited in Oppositions to the corresponding EPO patent; however, copies of these documents were not enclosed by the opponents.

1. COMPUTERS IN THE CITY '89, 14 November 1989, London, UK, pages 53-61, F.J. Perkins, "NORDEX: automated trading for Nordic equities."
2. SPRING COMPCON 87, 23 February 1987, San Francisco, US, pages 161-162, H.S. Sammer, "Online stock trading systems: study of an application."
3. AT&T Technology, Vol. 3, No. 1, 1988, Short Hills, New Jersey, US, pages 4-45, T.J. Dwyer, "TUXEDO Transaction Processing System for 3B Computers."
4. "GTE Telenet and Reveal Software, Inc. have cooperated in developing a complete broker's workstation software package," January 22, 1985, article from DIALOG File 649 - NEWSWIRE ASAP.
5. "SOFFEX Management Summary," Swiss Options and Financial Futures Exchange Ltd., January, 1987 (Schweizerische Terminborse).

6. Schmerken, I., "How computer assisted trading is making the Toronto Stock Exchange Purr," Wall Street Computer Review, December, 1987, pp. 71-78, see especially page 77.
7. Bucken, M., "Stock traders ponder 'Make' or 'Buy' choice," Software Magazine, vol. 9, no. 15, December, 1989, pp. 75-77.
8. Mazella, D.P., "Workstations for financial services professionals," Wall Street Computer Review, vol. 3, no. 5, February, 1986, pp. 35-39.
9. Nathans, L., "Can computers help Merrill take possession of the field?," Wall Street Computer Review, vol. 3, no. 5, February, 1986, pp. 35-39.
10. "Software alliance unveils system to help banks trade securities," American Banker, November 17, 1987, p. 14.
11. "Unisys introduces PC-based quotation system for stockbrokers at Securities Industry Trade Show in New York," February 10, 1988, article from DIALOG File 649 -- Newswire ASAP.
12. IBIS-Trading -- Handelssystem fur IBIS (Integriertes Brosenhandels- und Informationssystem), Version 2.5, Realtime Systems OHG, Hochheim, 1994.

13. InterTrade Direct, Liberty, London, 1994/95 (siehe die Zeitungsclips auf den letzten zwei Seiten).

Respectfully submitted,

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